

**DEPARTMENT OF DEFENSE
BROAD AGENCY ANNOUNCEMENT
DAAD19-02-R-0002**

**Infrastructure Support Program
for
Historically Black Colleges/Universities
and
Minority Institutions (HBCU/MI)**

Fiscal Year 2002



**Army Research Office (ARO)
Office of Naval Research (ONR)
Air Force Office of Scientific Research (AFOSR)
On behalf of the
Director of Defense Research and Engineering**

November 2001

DEPARTMENT OF DEFENSE
Infrastructure Support Program for HBCU/MI
Fiscal Year 2002

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DEPARTMENT OF DEFENSE
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I. INTRODUCTION

The Department of Defense (DoD) announces the Fiscal Year 2002 competition for the Infrastructure Support Program for Historically Black Colleges and Universities and Minority Institutions (HBCU/MI). The National Defense Authorization Act of 1996 authorized programs to assist HBCU/MIs in building their capacity to participate in defense research activities. Earlier legislation, Public Law 101-510, Section 832, (10 U.S.C. §2323(C)(3)), authorized specific types of assistance the DoD may provide to (a) enhance programs and capabilities at these institutions in scientific and engineering disciplines critical to the national security functions of the Department and (b) increase the number of graduates, including underrepresented minorities, in the fields of science, engineering, and mathematics. Thus, awards under this broad agency announcement will be limited to HBCU/MIs having an accredited, degree-granting program in science, engineering, or mathematics.

Fiscal Year 2002 funds for this solicitation are expected to total about \$14 million. Approximately \$9 million has been committed to long-term programs initiated under previous competitions. Thus, about \$5 million will be available for new grants in two program areas, namely, instrumentation and education assistance. Details are provided in sections IV and V, respectively. Evaluations will be conducted by DoD scientists and engineers according to evaluation criteria listed in these sections. Awards will be made by the Army Research Office (ARO), the Office of Naval Research (ONR), and the Air Force Office of Scientific Research (AFOSR), hereafter referred to as the “Agencies”. All awards will be based on merit competition.

This program is designed to establish, enhance or expand research capabilities and academic opportunities in undergraduate and graduate programs.

Read this announcement carefully as failure to follow instructions may result in proposal rejection.

II. ELIGIBILITY

Only HBCUs and MIs may compete for an award under this solicitation. The HBCUs are institutions determined by the Secretary of Education to meet the requirements of 34 CFR Section 608.2. The MIs are minority institutions that meet criteria contained in 10 U.S.C. §2323(a)(1)(C), which reads: “minority institutions (as defined in section 1046(3) of the Higher

Education Act of 1965 (20 U.S.C. 1135d-5(3)), which, for the purposes of this section, shall include Hispanic-serving institutions (as defined in section 316(b)(1) of such Act (20 U.S.C. 1059c(b)(1)).”

A list of institutions that meet the above criteria is provided in Appendix A. This list is compiled periodically by the Office for Civil Rights, U.S. Department of Education, as specified in 20 U.S.C. 1135d-5(3), using enrollment data reported by postsecondary institutions to the National Center for Integrated Statistics and the Office for Civil Rights in the Integrated Postsecondary Education Data System (IPEDS) Fall enrollment survey, formerly called the Higher Education General Information Survey (HEGIS).

Questions concerning the HBCU/MI list **must** be directed to the IPEDS Inquiry Line (202- 205-9567) in the Office for Civil Rights, U.S. Department of Education, not to the Department of Defense.

Proposing institutions must have an accredited, degree-granting program in science, engineering, or mathematics to be eligible for an award. In the case of two-year colleges, the associate degree in science, engineering, or mathematics is acceptable. The instrumentation component, the education component for undergraduate scholarships, and the graduate fellowship component is open to all eligible institutions as described above. As described in the graduate fellowships education Section V, DoD is seeking science, mathematics, and/or engineering (SME) proposals from HBCU/MI principal investigators who have a DoD Infrastructure Program funded research grant in effect on September 30, 2002.

III. PROPOSALS

A. GENERAL

Proposals must be received by the Army Research Office no later than 4:00 p.m. Eastern time on Thursday, January 31, 2002. Proposals received after the deadline will be handled in accordance with guidelines set forth in Appendix B.

To be eligible for consideration, proposals must bear a completed Proposal Cover (Appendix C). No other page or cover should precede the completed Appendix C. All proposals must be submitted in **hardcopy**; electronic transmissions will not be accepted. The ARO will receive and process all proposals. See address in section IV.B.

Proposals should not exceed 22 pages. This includes vitae and budgets. The Proposal Cover (Appendix C) and Acknowledgment Receipt (Appendix F) are excluded from the page count. If any proposal exceeds the allowable number of pages, only those pages up to the prescribed number (22) will be considered.

The original proposal and each of the nine copies should be fastened securely (e.g. stapled) in the upper left corner. Hard bindings and spiral bindings are discouraged. The following guidance applies to all proposals:

A page is defined as 8 ½ x 11-inch paper, single-sided, with one-inch margins, and a typeface of 10- or 12-pitch.

The abstract and pages with graphs or charts shall be included in the page count. All pages should be numbered consecutively beginning with the first page after the Proposal Cover. Do not submit institutional brochures, reprints, disks, or videotapes.

B. PROPOSAL SUBMISSION

All proposals must be sent to the Army Research Office no later than 4:00 p.m. Eastern Time on Thursday, January 31, 2002. See addresses below. All proposals require the signed original (stamp or print "ORIGINAL" in upper right corner) and nine (9) photocopies. The ARO will serve as administrator for collection, cataloging, and correspondence. The Agencies will conduct concurrent evaluations.

Please note that proposals delivered by commercial carrier are considered "hand carried" and no exceptions can be made to allow such proposals to be considered if, for any reason, they are received after the deadline. Be advised that in the past some proposals sent via commercial carriers were delayed during shipment and arrived after the deadline, typically by one or two days. To decrease the probability that proposals will arrive after the deadline and thus be ineligible for competition, proposers are encouraged to schedule delivery to occur before the deadline date. **(See Appendix B)**

For delivery to ARO by the U.S. Postal Service, use this address:

Army Research Office
ATTN: AMSRL-RO-R (HBCU/MI 2002)
P.O. Box 12211
Research Triangle Park, NC 27709-2211

For on-site delivery to ARO (Federal Express, UPS, DHL or another courier service), use the following address:

Army Research Office
ATTN: AMSRL-RO-R (HBCU/MI 2002)
4300 South Miami Boulevard
Durham, NC 27703-9142
(Point-of-contact: Jenny Haire, 919-549-4205)

C. NOTIFICATIONS

Acknowledgment of receipt of a proposal will be accomplished via the form at Appendix F. Self-address the form, affix first-class postage, and clip it to the original proposal (do not use staples or tape). Upon receipt of your proposal, the form will be completed and returned to you. No other acknowledgment will be provided. Please note that ARO will not pay to return acknowledgment forms that arrive without postage.

An announcement of awards is expected in mid June 2002. This will be accomplished via a Department of Defense News Release, which will be posted at <http://www.defenselink.mil>. Shortly thereafter, each principal investigator will receive a personal notification letter.

Negotiations may be required for an award. This process typically involves a procurement official of the awarding agency and a financial officer or other official of the recipient institution who is authorized to obligate the institution contractually. Please provide that individual's name in the appropriate section of the Proposal Cover (Appendix C).

All awards are expected to be in place no later than mid September 2002.

D. GRANT AS THE AWARD MECHANISM

It is anticipated that all of the agreements resulting from this solicitation will be awarded as grants. The authority for grant awards is set forth in 10 U.S.C. 2358. The criteria for using these documents are identified in 31 U.S.C. 6304-6305. Grants are governed by the following regulations:

1. OMB Circular A-21, "Cost Principles for Educational Institutions"
2. OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Government"
3. OMB Circular A-102, "Grants and Cooperative Agreements with State and Local Government"
4. OMB Circular A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"
5. OMB Circular A-122, "Cost Principles for Non-Profit Organizations"
6. DoD Grant and Agreement Regulations, DoD 3210.6-R

Documents 1-5 are available at <http://www.whitehouse.gov/omb/circulars/>

Document 6 is available at <http://web7.whs.osd.mil/pdf/32106r/32106r.htm>

They are also available from:

Executive Office of the President
Publications Service
New Executive Office Building
725 17th Street, NW, Room 2200
Washington DC 20503

Phone: (202) 395-7332

FAX Requests: (202) 395-9068

E. PAYMENT BY ELECTRONIC FUND TRANSFER – CENTRAL CONTRACTOR REGISTRATION DATABASE (CCR)

All payments by the Government under any award resulting from this BAA shall be made by electronic funds transfer (EFT). **PLEASE NOTE: Before DoD can make an award under this announcement, the awardee (i.e., the college or university) must be registered in the DoD CCR database. Proposers should verify with their business office that this has been done. To register in the DoD CCR database, go to <http://www.CCR2000.com> or call (800) 227-2423 for assistance.**

F. CERTIFICATIONS

All awards require certifications of compliance with national policy requirements. Statutes and government wide regulations require some certifications to be submitted at the time of proposal submission rather than at the time of award. Proposers, by signing and submitting a proposal with the required cover, Appendix C, are providing certification for the following:

- 32 CFR Part 25 regarding debarment, suspension, and other responsibility matters;
- 32 CFR Part 25 regarding drug-free workplace requirements; and
- 32 CFR Part 28 regarding lobbying.

Full text of these certifications may be found in Appendix D. It is not necessary to return Appendix D with your proposal. Rather, the signed proposal cover certifies understanding and compliance.

IV. INSTRUMENTATION COMPONENT

A. GENERAL

Eligible institutions are encouraged to submit a proposal to acquire instrumentation or equipment that would strengthen their education and/or research programs in science, engineering, and/or mathematics. Contingent upon Congressional appropriations, the Department anticipates around \$2 million for instrumentation/equipment awards.

The goals of this program are to improve the quality of academic programs, to increase the number of graduates, including underrepresented minority graduates, in the fields of science, engineering, and/or mathematics, and to enhance the HBCU/MI's ability to perform research in areas important to national defense.

Proposing schools need not be research institutions. However, they must have an accredited, degree-granting program in science, engineering, or mathematics and a history of graduating students in these fields. This program is designed to enhance academic and/or research capabilities in these areas.

Instrumentation awards will range from \$30,000 to \$180,000 (total cost to DoD). Emphasis is on instrumentation or equipment that will enhance the ability of the institution to:

(1) improve the quality of education and increase the number of students, including underrepresented minority students, in the fields of science, engineering, and/or mathematics; and/or

(2) perform research in areas important to national defense. See the following web sites for information on areas of research that are of particular interest to the Agencies.

Army Research Office (ARO): <http://www.aro.army.mil>. Select "Annual BAA." A help line is available at 919-549-4375.

Office of Naval Research (ONR): <http://www.onr.navy.mil>. Select "Science and Technology."

Air Force Office of Scientific Research (AFOSR): <http://www.afosr.af.mil>. Select "Research Opportunities." A help line is available at 301-975-0103.

B. CONDITIONS

Instrumentation proposals requesting from \$30,000 to \$180,000 will be considered. Proposals may involve more than one instrument; however, in such cases the requested instruments should have a common purpose. The proposal should explain how the new equipment would interface with existing equipment, how it will be utilized, and how it will enhance the quality of academic programs in science, engineering, and/or mathematics.

Requests for computer equipment must be for support of teaching or research activities and not for general office or administrative functions.

Only one instrumentation proposal per institution will be accepted. If more than one proposal is received from a given institution, that institution will be required to designate one proposal to compete under this announcement. This will help assure that each institution's highest priority request gets full consideration, it will reduce the effort and costs devoted to writing proposals, and it may enhance the number and range of institutions receiving instrumentation awards.

C. PROPOSAL CONTENTS

Instrumentation proposals must be complete, self-contained and shall not exceed 22 pages. The performance period for instrumentation grants is 12 months duration with an anticipated start date of October 1, 2002. Proposals should include the following:

1. **PROPOSAL COVER:** Appendix C of this announcement, fully completed and signed. (Please sign in blue ink to help distinguish the original from the copies). Place Proposal Cover on top and staple in upper left margin. No other page or plastic sheet should precede this cover.

2. **ABSTRACT:** Provide an abstract no longer than one page.

3. **SUPPORTING INFORMATION:**

- a. Describe how the proposed instrumentation would (1) enhance the quality of the academic program in science, engineering, and/or mathematics, (2) enhance or provide new research capabilities, and (3) interface with or upgrade other facilities and instrumentation currently available.

- b. Indicate the number of students, including underrepresented minority students, who would use the instrumentation or benefit from its use in the science, engineering, and/or mathematics fields, and whether or not this number is an increase over those in existing programs.

- c. Indicate the groups or educational departments within or outside of the institution that will use the equipment (1) for educational activities and (2) for research. For research activities, list current and proposed research efforts that would use the equipment (descriptive title of effort, amount and source of current funding, grant/contract period of performance, and principal investigator).

- d. Include the curriculum vitae of the principal investigator and other senior participants.

e. Describe any special circumstances regarding the acquisition or installation of the equipment.

f. Indicate the expected useful life of the equipment. Describe the plan to service and maintain the equipment during its useful life, including source(s) of funds.

4. BUDGET: Provide a list of the equipment requested along with estimated costs, both per item and totaled. Indicate the proposed source(s) of the equipment and provide the name and telephone number of a contact at the source(s) or a website address that lists the equipment and its price. The budget should indicate how and to what extent the institution intends to share program costs. Include details about other assured sources of cost sharing. Installation costs of the equipment may be included in the budget. The costs for continued operation and maintenance must be met by normal support mechanisms and are not to be part of the equipment budget. Salaries and overhead are not appropriate for an instrumentation proposal.

D. EVALUATION FACTORS:

Instrumentation proposals will be evaluated on the following factors of equal weight:

1. Impact of requested equipment on the institution's educational and/or research programs;

2. Impact on students and the number of students, including underrepresented minority students, who will use or will benefit from use of such instrumentation in the science, engineering, and/or mathematics curricula and/or research activities;

3. Degree to which the requested instrumentation will interface with or upgrade other facilities and instruments and the impact relative to current capabilities;

4. Qualifications of the faculty to use and maintain the instrumentation proposed for purchase;

5. Budgetary realism and cost effectiveness of the proposal. Cost sharing is not a factor in the evaluation.

V. SCIENCE, MATHEMATICS, AND ENGINEERING EDUCATION (SMEE)

A. GENERAL

The Department of Defense invites proposals to support undergraduate and graduate level education for students pursuing degrees in science, mathematics, and/or engineering (SME). This program component has two parts: one will support graduate students pursuing advanced degrees, the other is designed to encourage highly capable undergraduates to pursue SME education. The Department anticipates approximately \$3 million to support education awards.

1. GRADUATE FELLOWSHIPS

Each graduate fellowship award will augment a DoD Infrastructure Support Program funded research grant by supporting one graduate student that the “parent” award would not otherwise support. The “parent” grant will provide a base of defense research funding, covering the fixed costs of the research group in which the student is working. The fellowship funding will build upon this base by providing support for the additional graduate student and his/her research work leading toward the advanced degree.

The SMEE fellowships will provide funds toward a graduate student’s tuition and fees (at the normal research rate), stipend, and the cost of research training required for the advanced degree. Therefore, the DoD will limit the graduate fellowship awards to \$15,000 per year for three years of graduate work to cover tuition, fees, and stipend for each graduate student. The “parent” award provides a base of defense research funding, covering the fixed costs of the research group in which the student is working.

The research to be conducted by the Fellow must be directly related to the principal investigator’s DoD Infrastructure Support Program funded research grant.

All students selected to participate in this program must be U.S. citizens. The proposers are encouraged to seek outstanding graduate students who are women, underrepresented minorities, or persons with disabilities. Students must maintain good standing with the graduate school.

2. UNDERGRADUATE SCHOLARSHIPS

All HBCUs and MIs that have a degree-granting program in science, mathematics, and/or engineering are eligible to submit up to two proposals for scholarships, one student per proposal, toward completion of the SME baccalaureate degree. This program component is designed to encourage young people to pursue SME education and to encourage university researchers to involve undergraduate students in their work. Undergraduate scholarship awards of \$15,000 per year for four years may cover tuition, fees, and stipends for selected students, plus operating costs associated with the students’ participation.

B. CONDITIONS

All graduate and undergraduate students supported by the DoD Infrastructure Support Program funds must be U.S. citizens. Proposing institutions are responsible for selecting highly qualified students and administering the awards. Increased funding allowances for persons with disabilities will be considered to offset special education expenses.

Proposals must be submitted according to the guidance and deadlines described in this solicitation.

C. PROPOSAL CONTENTS

Proposals are limited to 22 pages and must include the following:

1. **PROPOSAL COVER:** To be eligible for consideration, proposals should have Appendix C, fully completed, as the cover on the original proposal and each of the nine copies. Signatures in blue ink on the original will help to distinguish it from the copies.
2. **ABSTRACT:** Provide an abstract no longer than one page.
3. **TEXT:** Provide the following, as applicable:
 - (a) Graduate Fellowship proposal: Describe the “parent” research project; indicate research activities in which the graduate student will participate; provide name and qualification of candidate graduate student; and provide vita of the thesis advisor.
 - (b) Undergraduate Scholarship proposal: Provide name of candidate scholar; describe the criteria or standards by which he/she was selected; indicate the student's SMEE degree program; and provide an official transcript to include the student's Grade Point Average (GPA).
4. **BIOGRAPHICAL SKETCH** for Principal Investigator and other key personnel.
5. **FACILITIES, EQUIPMENT, AND OTHER RESOURCES.** If the department has received equipment or instrumentation enhancements from the DoD Infrastructure Support Program, indicate item(s), when acquired, and describe impact on this project.
6. **EVALUATION PLAN:** Describe the methodology for evaluating each student's progress.
7. **BUDGET:** The financial portion of the proposal must contain a cost estimate that is sufficiently detailed to a meaningful evaluation.
 - a. Graduate student costs should be treated by your institution as they are for graduate students supported by other regular research grants/contracts from DoD. For budgeting

purposes, presume an award start date of September 15, 2002. The proposed performance period may be up to three years. Give breakout by year as well as totals.

b. Stipend/Salary Cost: Include only student stipend/salary and benefit costs. Principal investigator salary costs are not allowable if a DoD-funded research grant is being augmented. However, if supporting an undergraduate scholarship, the principal investigator may request compensation commensurate with level of effort.

c. Tuition and Fees: SMEE awards apply to tuition, fees, stipend/salary and research training costs associated with graduate and/or undergraduate students' participation in DoD-funded research. Indicate the costs at the normal research assistant rate. Otherwise, if this is included in normal research assistant stipend costs or overhead and not listed separately by the university, so indicate.

d. Research Training Cost: Appropriate costs would include 1) operation of the student portion of the research effort (e.g., computer time, machine shop work, optical or electronic components, test tubes); 2) publication and report costs; and 3) travel costs (must be justified and limited to student travel only).

D. SELECTION FACTORS

SMEE proposals will be evaluated competitively by the Agencies. The primary criterion for evaluation will be:

1. The potential to contribute to the education of future scientists and engineers in disciplines critical to the DoD mission.

Other evaluation criteria, which are of lesser importance than the primary criterion and of equal importance to each other, will be:

2. Qualifications, capabilities, experience, and accomplishments of the principal investigator and key personnel who will guide student research activities;

3. Quality of planned research and/or education program(s) and, where applicable, relevance to the research of the DoD mission;

4. Realism and reasonableness of costs.

Proposals will undergo a multi-stage evaluation procedure. First, agency program managers will review proposals received in their technical areas. Second, the most significant proposals within each technical area will be recommended for funding by each agency based upon evaluations by the program managers. Recommendations may include lower funding than requested in proposals. Third, the agencies, in coordination with the Office of the Director of Defense Research and Engineering (ODDR&E) Basic Research will reconcile any overlap and coordinate efforts to ensure the broadest possible impact with funds available.

E. AWARDS

Subject to availability of funds, each agency plans to support several scholarship and/or fellowship awards. The awards will be made as grants. Negotiations may result in funding levels less than originally proposed. Selections will be announced by the DoD Public Affairs Office at <http://www.defenselink.mil/news>. Soon thereafter, a letter will be sent to each principal investigator. Awards are expected no later than mid September 2002.

APPENDIX A:
2001 U.S. Department of Education Accredited Postsecondary Minority Institutions

<http://www.ed.gov/offices/OCR/minorityinst.html>

APPENDIX B: LATE SUBMISSIONS AND WITHDRAWAL OF PROPOSALS

Proposals sent by United States Postal Service (registered, certified, or express mail) not later than the second calendar day before the date specified in the solicitation for receipt of proposals will be considered for an award if the proposal is received before awards are announced (e.g. a proposal submitted in response to a solicitation requiring receipt of proposals by the 20th of the month must have been mailed by the 18th).

For proposals delivered by other than registered, certified, or express mail, Offerors are responsible for submitting proposals so as to reach the Government office designated in the solicitation by the time specified in the solicitation. Any proposal sent by other than registered, certified, or express mail and received at the Government office designated in the solicitation after the exact time specified for receipt of proposals is “late” and will not be considered unless there is acceptable evidence to establish that it was received at the Government installation designated for receipt of proposals and was under the Government’s control by the time set for receipt of proposals.

Acceptable evidence to establish the time of receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.

If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the office designated for receipt of proposals by the exact time specified in the solicitation, and urgent Government requirements preclude amendment of the solicitation, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the solicitation on the first work day on which normal Government processes resume.

Proposals may be withdrawn by written notice received at any time before award. Withdrawals are effective upon receipt of notice by the Contracting Officer.

APPENDIX C: PROPOSAL COVER

PROPOSAL FOR: FY 2002 DoD INFRASTRUCTURE SUPPORT PROGRAM FOR HBCU/MI
Broad Agency Announcement No. DAAD19-02-R-0002

Proposal Number _____
(to be completed by DoD)

Check as appropriate:

- ☐ THIS PROPOSAL IS FOR INFRASTRUCTURE INSTRUMENTATION
- ☐ THIS PROPOSAL IS FOR SCIENCE, MATHEMATICS, ENGINEERING EDUCATION
- ☐ Undergraduate Scholarships
- ☐ Graduate Fellowship based on _____
"parent" research grant (Institution & Principal Investigator)

NOTE: The Army Research Office will receive all proposals. Copies will be distributed to the ONR and AFOSR for concurrent evaluations.

1. ABOUT THE PRINCIPAL INVESTIGATOR:
(If there are co-investigators, please designate one as primary.)

Title (Dr., Prof., Mr., Ms) Name (First , Middle, Last) Signature (please use blue ink)

Department / Division

Academic Institution

Street / P.O. Box

City State Zip Code

PI's Phone Number PI's Fax Number PI's e-mail address

Is the Principal Investigator a current DoD contractor or grantee? YES ☐ NO ☐

If yes, give Agency, Point of Contact, and Phone Number:

2. ABOUT THE PROPOSAL:

TITLE OF PROPOSAL (Be brief and descriptive; use key words suitable for indexing and retrieval; avoid acronyms and mathematical or scientific notation.)

TOTAL FUNDS REQUESTED
FROM DoD

Proposed Start Date
(Month/Day/Year)

Proposed End Date
(Month/Day/Year)

3. CERTIFICATIONS:

All awards require certifications of compliance with national policy requirements. Statutes and government wide regulations require some certifications to be submitted at the time of proposal submission rather than at the time of award. Proposers, by signing and submitting a proposal with the required cover, Appendix C, are providing the certification at 32 CFR Part 25 regarding debarment, suspension, and other matters; the certification at 32 CFR Part 25 regarding drug-free workplace; and the certification at 32 CFR Part 28 regarding lobbying. Full text of these certifications may be found in Appendix D. Please note that a signature in the section below indicates compliance with these requirements, and there is no need to return Appendix D with your proposal.

4. ABOUT THE INSTITUTION:

TYPED NAME, SIGNATURE, AND ADDRESS OF UNIVERSITY OFFICIAL AUTHORIZED TO OBLIGATE CONTRACTUALLY

(Note: Negotiation and award processes usually can be completed more expeditiously if the individual named below is a financial officer of the institution.)

Signature *(Please use blue ink)* Date

Title First Name MI Last Name

Phone Number () Fax Number ()

Legal Name of Institution (should be consistent with the name registered in DUNS)

Street Address (P.O. Box Numbers Cannot Be Accepted)

City State ZIP Code

Taxpayer Identification No. (TIN) _____

DUNS No. _____

(The institution's number in the data university numbering system (DUNS) is a unique nine digit (all numeric) identification number for organizations. Dun & Bradstreet Corporation assigns it. You can receive a DUNS number by calling Dun & Bradstreet at (800) 333-0505 or go to the Dun & Bradstreet website at <http://dnb.com/aboutdb/dunsform.htm>.

Commercial and Government Entity (CAGE) Code *(if known)*: _____

APPENDIX D: CERTIFICATIONS FOR EDUCATIONAL/NONPROFIT INSTITUTIONS

A. CERTIFICATION REGARDING LOBBYING

This certification is required for an award of a Federal contract, grant, or cooperative agreement exceeding \$100,000 and for an award of a Federal loan or a commitment providing for the United States to insure or guarantee a loan exceeding \$150,000.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

B. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS—PRIMARY COVERED TRANSACTIONS

(1) The prospective primary participant certifies, to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicated for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

C. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

1. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintain a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs;

and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after each conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

2. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant: Place of Performance (street address, city, county, state, zip code). Unless identified otherwise, location is as shown in Section 1 of Appendix C (cover page).

APPENDIX E

POINTS OF CONTACT

Inquiries about this announcement may be directed as follows:

ARMY RESEARCH OFFICE (ARO)

Contact: LTC David Camps
919-549-4200
Ms. Jenny Haire
919-549-4205

OFFICE OF NAVAL RESEARCH (ONR)

Contact: Mr. Anthony Junior
703-696-0453

AIR FORCE OFFICE OF SCIENTIFIC RESEARCH (AFOSR)

Contact: Dr. Victoria Franques
703-696-7313

APPENDIX F: ACKNOWLEDGMENT RECEIPT

FROM: Army Research Office
ATTN: AMSRL-RO-R
PO Box 12211
Research Triangle Park, NC 27709-221

POSTAGE

TO: [Address Label for Principal Investigator]

Fold on this line and clip to Proposal Cover Page

DATE:

REFERENCE YOUR: _____ INSTRUMENTATION PROPOSAL
_____ SME EDUCATION PROPOSAL

DEAR PROPOSER:

The proposal that you submitted under the Department of Defense HBCU/MI Infrastructure Support Program for Fiscal Year 2002 has been received by the Army Research Office.

_____ Your proposal has been assigned Control No. _____ and will be evaluated. Please reference this number when inquiring about your proposal.

_____ Your proposal will not be evaluated for the following reason(s):

ANNOUNCEMENT OF AWARDS IS EXPECTED BY MID JUNE 2002